

416 Rec'd PTO 15 JUN 2000

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

09/581585

INTERNATIONAL APPLICATION NO.
PCT/DE98/03676

INTERNATIONAL FILING DATE
December 15, 1998

PRIORITY DATE CLAIMED
December 15, 1997

TITLE OF INVENTION **SURFACE MOUNTING OPTOELECTRONIC COMPONENT AND METHOD FOR PRODUCING SAME**

APPLICANT(S) FOR DO/EO/US **GÜNTHER WAITL, ROBERT LUTZ and HERBERT BRUNNER**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of International Application (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)) (**attached at back of English translation of application**).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (**PTO 1449, Prior Art, Search Report**).
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
(SEE ATTACHED ENVELOPE)
13. ☒ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
 - a. ☒ Submission of Drawings
 - b. ☐ Request for Approval of Drawing Changes
 - c. ☒ EXPRESS MAIL #EL568799874US

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO \$840.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) ... \$760.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) \$450.00Neither international preliminary examination fee (37 C.F.R. 1.482) nor international
search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO \$1,250.00International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all
claims satisfied provisions of PCT Article 33(2)-(4) \$98.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS

PTO USE ONLY

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from
the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number
Extra

Rate

Total Claims

20 - 20 =

X \$ 18.00

\$ 0.00

Independent Claims

3 - 3 =

X \$ 78.00

\$ 0.00

Multiple Dependent Claims

\$270.00 +

\$ 0.00

TOTAL OF ABOVE CALCULATIONS =

\$ 840.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also
be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

SUBTOTAL =

\$ 840.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months
from the earliest claimed priority date (37 CFR 1.492(f)).

+

\$

TOTAL NATIONAL FEE =

\$

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**SEE
ATTACHED
ENVELOPE****TOTAL FEES ENCLOSED =**

\$ 840.00

Amount to be
refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 840.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A
duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 08-2290. A duplicate copy of this sheet is enclosed.**NOTE:** Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must
be filed and granted to restore the application to pending status.**SEND ALL CORRESPONDENCE TO:**Hillaaa & Simpson
A Professional Corporation
85th Floor Sears Tower
Chicago, Illinois 60606

SIGNATURE

Melvin A. Robinson

NAME

31,870

Registration Number

09/581585

416 Rec'd PCT/PTO 15 JUN 2000

CERTIFICATE OF MAILING BY EXPRESS MAIL

"Express Mail" Mailing Label Number EL568799874US

Date of Deposit: June 15, 2000

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10(c) on the date indicated above and is addressed to:

BOX PCT
Commissioner of Patents and Trademarks
Washington, D.C. 20231

Case Number: P00,1086

International Application No.
PCT/DE98/03676

International Filing Date
December 15, 1998

Priority Date Claimed
December 15, 1997

Title: "SURFACE MOUNTING OPTOELECTRONIC COMPONENT AND
METHOD FOR PRODUCING SAME"

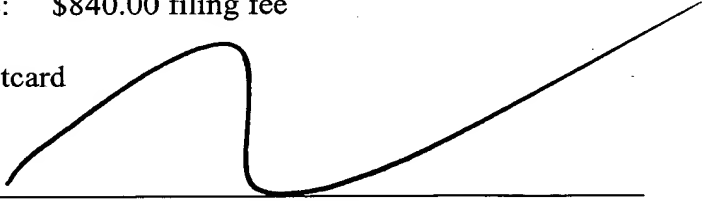
Applicant(s): Günter Waitl, Robert Lutz and Herbert Brunner

Enclosed are the following documents:

PTO Form 1390 in duplicate
PCT Request Form
Translation of International Application into English
Information Disclosure Statement, PTO Form 1449 and references cited
Preliminary Amendment
Submission of Drawings (4 sheets - Figs.1-7)

Fee: \$840.00 filing fee

Postcard



Signature of person mailing document and fees

BOX PCT

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE
UNDER THE PATENT COOPERATION TREATY-CHAPTER II

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SUBMISSION OF DRAWINGS

APPLICANT(S): Günter Waitl et al.
ATTORNEY DOCKET NO.: P00,1086
INTERNATIONAL APPLICATION NO.: PCT/DE98/03676
INTERNATIONAL FILING DATE: 15 December 1998
10 INVENTION: "SURFACE MOUNTING OPTOELECTRONIC COMPONENT
AND METHOD FOR PRODUCING SAME"

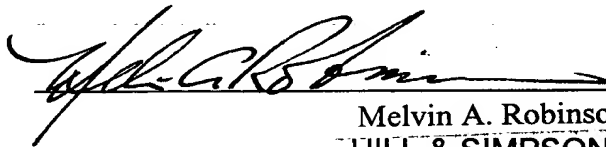
Assistant Commissioner for Patents

Washington, D.C. 20231

S I R:

15 Applicants herewith submit four sheets (Figs. 1, 2A-C, 3, 4, 5, 6 and 7) of
drawings as originally submitted for the above-referenced PCT application.

: Submitted by,



(Reg. 31,870)

Melvin A. Robinson

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Attorneys for Applicant(s)

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